

APPENDIX A

Docket No. 23623-7052

**Certificate of Mailing/Transmission (37 C.F.R. § 1.8(a)):**

☒ Pursuant to 37 C.F.R. § 1.8, I hereby certify that this paper and all enclosures are being deposited with the United States Postal Service as first class mail on the date indicated below in an envelope addressed to the Assistant Commissioner for Patents, Washington D.C. 20231.

☐ Pursuant to 37 C.F.R. § 1.6(d), I hereby certify that this paper and all enclosures are being sent via facsimile on the date indicated below to the attention of Examiner \_\_\_\_\_ at Facsimile No. \_\_\_\_\_ at \_\_\_\_\_ a.m./p.m.

Dated: July 17, 2001 Name of Person Certifying: Nancy Hinc  
Printed Name: Nancy Hinc

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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CENTRAL FAX CENTER

JUN 14 2007

Applicant: Davis et al.  
Filing Date: April 2, 2001  
Serial No.: 09/824,827  
Title: Synthesis and use of Glycodendrimer Reagents

Assignee: Genencor International, Inc.  
Examiner: Not Assigned  
Group Art Unit: Not Assigned

Applications Processing Division  
Customer Correction Branch  
Assistant Commissioner for Patents  
Washington, D.C. 20231

EXHIBIT D

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

Applicant respectfully requests that the Official Filing Receipt (PTO form 103P) for the above-identified patent application, a copy of which is attached with the correction marked in red ink, be corrected. The Filing Receipt contains an error in the Applicant Residence Section.

Please correct the Filing Receipt to read as follows:

Please change [Residence Not Provided] and insert

Benjamin G. Davis --Durham, United Kingdom--;  
John Bryan Jones --Lakefield, Ontario, Canada--;  
Richard R. Bott --Burlingame, CA--.

- ☒ The correction is not due to any error by applicant and no fee is due. If for any reason a fee is found to be necessary, our Deposit Account No. 50-1193 (docket No. 23623-7052) may be charged therefore.  
*A duplicate copy of this sheet is enclosed.*
- ☐ At least one of the above corrections is due to applicant's error and the fee under 37 CFR §1.19(h) of \$25.00 is paid as follows:
- ☐ Enclosed is Check No. \_\_\_\_\_ for \$25.00.

APPENDIX A

EXHIBIT D

Docket No. 23623-7052

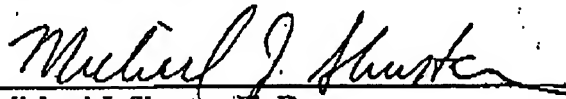
☐ Please charge Deposit Account No. \_\_\_\_\_, in the amount of \$ \_\_\_\_\_ to cover the above-fees. *A duplicate copy of this sheet is enclosed.*

☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-1193, (Docket No. 23623-7052) *A duplicate copy of this sheet is enclosed.*

DATE: July 17, 2001

Respectfully submitted,

By:



Michael J. Shuster, Ph.D.

Registration No.: 41,310

McCutchen, Doyle, Brown & Enersen, LLP  
Three Embarcadero Center  
San Francisco, California 94111  
Telephone: (415) 393-2000  
Telefax: (415) 393-2286

## APPENDIX A



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE RECD	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/824,827	04/02/2001	1652	710	23623-7052	20	1	1

RECEIVED

JUN - 6 2001

MDS&amp;E

CONFIRMATION NO. 2521

FILING RECEIPT



\*OC0000000008141149\*

McCutchen, Doyle, Brown & Enersen, LLP  
Three Embarcadero Center, 28th Floor  
San Francisco, CA 94111

Date Mailed: 06/04/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Benjamin G. Davis, Residence Not Provided; Durham, United Kingdom  
John Bryan Jones, Residence Not Provided; Lakefield, Ontario, Canada  
Richard R. Bott, Residence Not Provided; Burlingame, CA

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/347,029 07/02/1999  
AND A CIP OF 09/556,466 04/21/2000

## Foreign Applications

If Required, Foreign Filing License Granted 06/01/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

## Title

Synthesis and use of glycodendrimer reagents

Docket: 23623-7052  
Action: *Notice*  
Date Due: 10/2/02  
Office: *10/2*  
Checked By: *10/2*  
Approved By: *10/2*  
Filed By: *10/2*  
SEARCHED BY: *10/2* BROWN & ENERSEN, LLP

EXHIBIT D

APPENDIX A

Serial/Patent No.: 09/824,837 Filing/Issue Date: April 2, 2001  
 Client: Genencor International, Inc.  
 Title: Synthesis and Use of Glycodendrimer reagents  
 Docket No.: 23623-7052 Atty/Secy Initials: mjs/jwd  
 Date Mailed: July 17, 2001 Docket Due Date: N/A

*The Following Was Received In The U.S. Patent And Trademark Office On The Date Stamped Hereon:*

Request for Corrected Filing Receipt (2 pages, orig. + duplicate)  
 Copy of Filing Receipt with corrections marked in red (1 page)  
 Return Receipt Postcard



21356329\_1.DOC

Serial/Patent No.: 09/824,837 Filing/Issue Date: April 2, 2001  
 Client: Genencor International, Inc.  
 Title: Synthesis and Use of Glycodendrimer reagents  
 Docket No.: 23623-7052 Atty/Secy Initials: mjs/jwd  
 Date Mailed: July 17, 2001 Docket Due Date: N/A

*The Following Was Received In The U.S. Patent And Trademark Office On The Date Stamped Hereon:*

Request for Corrected Filing Receipt (2 pages, orig. + duplicate)  
 Copy of Filing Receipt with corrections marked in red (1 page)  
 Return Receipt Postcard

21356329\_1.DOC

# EXHIBIT E

APPENDIX A

## Notice of Allowability

Application No.

09/824,827

Examiner

Kathleen Kahler Fonda, Ph.D.

Applicant(s)

DAVIS ET AL

Art Unit

1623

**- The MAILING DATE of this communication appears on the cover sheet with the correspondence address-**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to IDS of 7-23-01, 10-9-01, and 3-5-02; prei emdt of 7-30-02.

2. ☒ The allowed claim(s) is/are 2-39.

3. ☒ The drawings filed on 02 April 2001 are accepted by the Examiner.

4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a) ☐ All b) ☐ Some\* c) ☐ None of the:

1. ☐ Certified copies of the priority documents have been received.

2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.

3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\*Certified copies not received: \_\_\_\_\_.

5. ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).

(a) ☐ The translation of the foreign language provisional application has been received.

6. ☒ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application. **THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

7. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.

8. ☐ CORRECTED DRAWINGS must be submitted.

(a) ☐ Including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached

1) ☐ hereto or 2) ☐ to Paper No. \_\_\_\_\_.

(b) ☐ Including changes required by the proposed drawing correction filed \_\_\_\_\_, which has been approved by the Examiner.

(c) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No. \_\_\_\_\_.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the top margin (not the back) of each sheet. The drawings should be filed as a separate paper with a transmittal letter addressed to the Official Draftsperson.

9. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

### Attachment(s)

1 ☒ Notice of References Cited (PTO-892)

1 ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

1 ☒ Information Disclosure Statements (PTO-1449), Paper No. 4-6.

1 ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material

2 ☐ Notice of Informal Patent Application (PTO-152)

4 ☐ Interview Summary (PTO-413), Paper No. \_\_\_\_\_.

6 ☐ Examiner's Amendment/Comment

8 ☒ Examiner's Statement of Reasons for Allowance

9 ☐ Other

**COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY**  
(Includes Reference to PCT International Applications)

**ATTORNEY'S DOCKET**  
200649/1062 (G)

As a below named inventor, I hereby declare that:

**APPENDIX A**

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**CHEMICALLY MODIFIED PROTEINS WITH A CARBOHYDRATE MOIETY**

the specification of which (check only one item below):

**EXHIBIT F**

☐ is attached hereto.

6541-3

☒ was filed as U.S. Patent Application Serial No. 09/347,029 on July 2, 1999 and was amended on \_\_\_\_\_ (if applicable).

☐ was filed as PCT International Application Number \_\_\_\_\_ on \_\_\_\_\_ and was amended under PCT Article 19 on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specifications, including the claims, as amended by any amendment referred to above.




I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

**PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:**

COUNTRY (IF PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
United States	60/131,446	28-APRIL-1999	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
United States	60/091,687	02-JULY- 1998	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO

Page 1 of 2

<b>COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (Continued)</b> (Includes Reference to PCT International Applications)				<b>ATTORNEY'S DOCKET NUMBER</b> 200649/1062 (GC 541-3)	
I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT International filing date of this application:					
PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:					
U.S. APPLICATIONS			STATUS (Check One)		
U.S. APPLICATION NUMBER		U.S. FILING DATE	PATENTED	PENDING	ABANDONED
PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (If any)			
<b>POWER OF ATTORNEY:</b> As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. <b>Michael L. Goldman, Registration No. 30,727, Gunnar G. Leinberg, Registration No. 35,584; Dennis M. Connolly, Registration No. 40,964; Edwin V. Merkel, Registration No. 40,087, Jeffery B. Arnold, Registration No. 39,540, Georgia Caton, Registration No. P-44,597</b>					
Send Correspondence to: <b>Michael L. Goldman Nixon Peabody LLP Clinton Square, P.O. Box 1051 Rochester, New York 14603</b>			Direct telephone calls to: <b>Michael L. Goldman (716) 263-1304</b>		
201	FULL NAME OF INVENTOR	FAMILY NAME Jones	FIRST GIVEN NAME J.	SECOND GIVEN NAME Bryan	
	RESIDENCE & CITIZENSHIP	CITY Lakefield	STATE/FOREIGN COUNTRY Ontario, Canada	COUNTRY OF CITIZENSHIP Canada	
	POST OFFICE ADDRESS	P.O. ADDRESS 1275 Seaforth Crescent, RR 3	CITY Lakefield	STATE & ZIP CODE/COUNTRY Ontario K0L 2H0/Canada	
202	FULL NAME OF INVENTOR	FAMILY NAME Davis	FIRST GIVEN NAME Benjamin	SECOND GIVEN NAME G.	
	RESIDENCE & CITIZENSHIP	CITY Durham	STATE/FOREIGN COUNTRY United Kingdom	COUNTRY OF CITIZENSHIP United Kingdom	
	POST OFFICE ADDRESS	P.O. ADDRESS The Castle	CITY Durham	STATE & ZIP CODE/COUNTRY United Kingdom	
203	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/COUNTRY	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.					
SIGNATURE OF INVENTOR 201		SIGNATURE OF INVENTOR 202		SIGNATURE OF INVENTOR 203	
					

**COMBINED DECLARATION FOR PATENT  
APPLICATION AND POWER OF ATTORNEY**  
(Includes Reference to PCT International Applications)

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**CHEMICALLY MODIFIED PROTEINS WITH A CARBOHYDRATE MOIETY**

the specification of which (check only one item below):

☐ is attached hereto.

GC 541.3

☒ was filed as U.S. Patent Application Serial No. 09/347,029 on July 2, 1999 and was amended on \_\_\_\_\_ (if applicable).

☐ was filed as PCT International Application Number \_\_\_\_\_ on \_\_\_\_\_ and was amended under PCT Article 19 on \_\_\_\_\_ (if applicable).

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United States	60/091,687	02-JULY-1998	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO

Page 1 of 2

09 SEP 99



**COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (Continued)**  
(Includes Reference to PCT International Applications)

**ATTORNEY'S DOCKET NUMBER**  
200649/1062 (GC-54183)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT International filing date of this application:

**PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:**

**U.S. APPLICATIONS**

**STATUS (Check One)**

**U.S. APPLICATION NUMBER**

**U.S. FILING DATE**

**PATENTED**

**PENDING**

**ABANDONED**

**PCT APPLICATIONS DESIGNATING THE U.S.**

**PCT APPLICATION NO.**

**PCT FILING DATE**

**U.S. SERIAL NUMBERS ASSIGNED (if any)**

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. Michael L. Goldman, Registration No. 30,727, Gunnar G. Leinberg, Registration No. 35,584; Dennis M. Connolly, Registration No. 40,964; Edwin V. Merkel, Registration No. 40,087, Jeffery B. Arnold, Registration No. 39,540, Georgia Caton, Registration No. P-44,597

**Send Correspondence to:**

Michael L. Goldman  
Nixon Peabody LLP  
Clinton Square, P.O. Box 1051  
Rochester, New York 14603

**Direct telephone calls to:**  
Michael L. Goldman  
(716) 263-1304

201	<b>FULL NAME OF INVENTOR</b>	<b>FAMILY NAME</b>	<b>FIRST GIVEN NAME</b>	<b>SECOND GIVEN NAME</b>
		Jones	J.	Bryan
	<b>RESIDENCE &amp; CITIZENSHIP</b>	<b>CITY</b>	<b>STATE/FOREIGN COUNTRY</b>	<b>COUNTRY OF CITIZENSHIP</b>
		Lakefield	Ontario, Canada	Canada
	<b>POST OFFICE ADDRESS</b>	<b>P.O. ADDRESS</b>	<b>CITY</b>	<b>STATE &amp; ZIP CODE/COUNTRY</b>
		1275 Seaforth Crescent, RR 3	Lakefield	Ontario, K0L 2H0/Canada
202	<b>FULL NAME OF INVENTOR</b>	<b>FAMILY NAME</b>	<b>FIRST GIVEN NAME</b>	<b>SECOND GIVEN NAME</b>
		Davis	Benjamin	G.
	<b>RESIDENCE &amp; CITIZENSHIP</b>	<b>CITY</b>	<b>STATE/FOREIGN COUNTRY</b>	<b>COUNTRY OF CITIZENSHIP</b>
		Durham	United Kingdom	United Kingdom
	<b>POST OFFICE ADDRESS</b>	<b>P.O. ADDRESS</b>	<b>CITY</b>	<b>STATE &amp; ZIP CODE/COUNTRY</b>
		The Castle	Durham	United Kingdom
203	<b>FULL NAME OF INVENTOR</b>	<b>FAMILY NAME</b>	<b>FIRST GIVEN NAME</b>	<b>SECOND GIVEN NAME</b>
	<b>RESIDENCE &amp; CITIZENSHIP</b>	<b>CITY</b>	<b>STATE/FOREIGN COUNTRY</b>	<b>COUNTRY OF CITIZENSHIP</b>
	<b>POST OFFICE ADDRESS</b>	<b>P.O. ADDRESS</b>	<b>CITY</b>	<b>STATE &amp; ZIP CODE/COUNTRY</b>

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

**SIGNATURE OF INVENTOR 201**

**SIGNATURE OF INVENTOR 202**

**SIGNATURE OF INVENTOR 203**

**DATE**

**DATE**

**DATE**